

# DIRECTIVE

## WELFARE-TO-WORK

Number: WD98-1

Date: March 10, 1998

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TO: SERVICE DELIVERY AREA ADMINISTRATORS  
PRIVATE INDUSTRY COUNCIL CHAIRPERSONS  
COUNTY WELFARE DEPARTMENT DIRECTORS  
CALIFORNIA DEPARTMENT OF SOCIAL SERVICES  
EDD EXECUTIVE STAFF  
WORKFORCE DEVELOPMENT BRANCH STAFF

SUBJECT: WELFARE-TO-WORK LOCAL PLANNING GUIDANCE **(INACTIVE)**

### EXECUTIVE SUMMARY:

#### Purpose:

This Directive transmits instructions for preparing local plans for the first year of federal formula Welfare-to-Work (WtW) grant program funding. Funds are expected to become available April 1, 1998, and will have a three-year life ending March 31, 2001.

#### Scope:

This Directive contains planning guidelines and requirements for the WtW grant program for the federal Fiscal Year 1998. This guidance is being distributed concurrently with the state WtW plan. The State Job Training Coordinating Council will conduct public hearings on the state plan.

This Directive is based on Title 20 CFR, Part 645, WtW grants, Interim Final Rule, and 42 U.S.C. Section 603(a). Elements of this Directive are subject to change pending the issuance of the federal WtW Final Rule, the issuance of federal regulations governing data reporting requirements, or any relevant policy issues raised in the course of the public hearing process for the state WtW plan.

#### Effective Date:

The instructions contained in this Directive are effective immediately.

### REFERENCES:

- The Department of Labor (DOL) Interim Final Rule for WtW Grants, Title 20 CFR, Part 645
- The Temporary Assistance for Needy Families amendment (Section 5001. WtW Grants) in House Resolution (HR) 2015, 42 U.S.C. Section 603(a)
- The DOL Final Planning Guidance and Instructions for WtW Formula Grants
- California's state WtW grant program plan

- The California Work Opportunity and Responsibility to Kids program, Statutes 1997, Chapter 27, Number. 5, West's California Legislative Service, page 89 (Assembly Bill [AB] 1542)

## **FILING INSTRUCTIONS:**

Retain this Directive until further notice.

## **BACKGROUND:**

In late summer of 1996, Congress enacted HR 3734, the Personal Responsibility and Work Opportunity Reconciliation Act, that consolidated the Aid to Families with Dependent Children, Emergency Assistance, and Job Opportunities and Basic Skills programs into a single block grant named the Temporary Assistance for Needy Families (TANF) program. In August 1997, the Governor signed legislation for the California Work Opportunity and Responsibility to Kids (CalWORKs) program, which implements TANF in California.

Also in August 1997, the President signed HR 2015, the federal Balanced Budget Act of 1997. The HR 2015 supplements TANF with an additional \$3 billion to states to create WtW programs (\$1.5 billion in each of Fiscal Years 1998 and 1999). The 1998 allocation was effective at the federal level October 1, 1997. After certain set-asides at the federal level equaling 1.8 percent of the total funds (plus \$100 million in the second year for performance bonuses) the appropriation is divided into 75 percent for formula grants to states and 25 percent for federal competitive grants to local areas.

According to DOL issuances, California is eligible for \$190,417,247 in 1998 from the formula grant money. Estimates from the Congressional Research Bureau place California's 1999 allocation at approximately \$173 million. The state must provide \$1 in nonfederal matching expenditures for each \$2 it receives in federal WtW grant program funds.

The DOL will administer the program at the federal level. The Governor designated the Employment Development Department (EDD) as the state administrative entity. The Private Industry Councils (PIC) will administer the program for Service Delivery Areas (SDA) at the local level, unless the Governor submits a request to DOL for a waiver designating an alternate administrative entity for individual or multiple SDAs. For the first-year funding, the Governor would consider such a waiver, on a case-by-case basis (see Policy and Procedures below, **Alternate Administrative Entity Waiver**).

The Governor must allocate at least 85 percent of the state's formula grant to the SDAs for local programs. The Governor will withhold 15 percent of the state's formula grant for special projects to assist long-term welfare recipients in obtaining unsubsidized employment and for state administration of the WtW grant program in California. The Interim Final Rule limits the state to an administrative cap of 15 percent, as applied to the total federal allotment the state receives.

The federal WtW legislation allows states up to three years, from the date of their receipt of federal funds, to expend their grants. California expects to receive its first-year federal WtW grant program funds in the spring of 1998 and will have 36 months

from the actual date of receipt to expend the money. Regardless of when a PIC's (or alternate administrative entity's) funding authority begins, an SDA's subgrant must be expended within 36 months of the date the state receives the federal grant.

## **POLICY AND PROCEDURES:**

### **Local WtW Grant Program Plans:**

The key philosophy throughout the state WtW plan, and these planning instructions is local flexibility and accountability. As is true with CalWORKs, program design must be driven locally and reflect the demographic and workforce needs of the community. The PICs have broad discretion in how federal WtW grant program funds are expended within their SDAs, but they must coordinate the expenditure of these funds with CalWORKs expenditures. Local WtW grant program plans must be co-signed by the PIC Chair, the Chief Elected Official (CEO) for the local governmental entity which accepts responsibility for these funds, and the County Board(s) of Supervisors within the SDA. It is expected that the local plans will be developed jointly between the PIC and the County Welfare Department (CWD). The County Board of Supervisors will consider the input of the CWD when board action is taken.

The plans must demonstrate that local WtW grant programs comply with state and federal requirements. This includes a demonstration of efforts to coordinate and consult with local partners, including CWDs, Job Training Partnership Act (JTPA) programs, educational institutions which administer the Child Care Development Block Grant, housing agencies, transportation agencies, county alcohol and drug representatives, the EDD's Job Services and local Labor Market Information representative, faith-based organizations, community colleges, One-Stop Career Centers, and community-based organizations. Efforts to engage the business community, foundations, and other organizations must be described, as well. The local plans will follow the general outline of the state WtW plan and must be specific regarding such activities as local collaboration, target populations and allowable activities, assessment and referral procedures, case management, leveraging of local resources to be used as potential match, and local performance goals.

The DOL issued the Interim Final Rule for the WtW grant program (Title 20 CFR Part 645) on November 18, 1997. Included in the planning instructions which follow are citations from the Interim Final Rule. In order to successfully develop and complete its local plan, the PIC should refer to the Interim Final Rule for WtW Grants, the TANF amendment (Section 5001 WtW Grants) in HR 2015 (42 U.S.C. Section 603(a)), the DOL final Planning Guidance and Instructions for WtW formula grants, and California's State WtW grant program plan which may be accessed through the Internet at:

**<http://www.edd.cahwnet.gov/emptran.htm>.**

### **Alternate Administrative Entity Waiver:**

The PICs will administer the program for SDAs at the local level, unless the Governor submits a request to DOL for a waiver designating an alternate administrative entity

for individual or multiple SDAs. There are two circumstances under which the Governor might request such a waiver for this program year:

- 1) the PIC declines to accept the WtW grant program funds for its SDA (To exercise this option, please complete the Alternative Administrative Entity Waiver Form contained in the Forms Supplement. Further instructions are available in the plan instructions: Introduction, PIC declines WtW program); or
- 2) the PIC, the CEO, and the County Board(s) of Supervisors within the SDA are unable to agree on the local program, resulting in refusal of any of the parties to sign the local WtW plan.

### **Limit on Administrative Funds:**

The Interim Final Rule limits the state to an administrative cap of 15 percent on the total federal WtW grant program funds it receives. In California, the PICs will be limited to an administrative cap of 13 percent of their WtW grant program formula grants and should be prepared to present their methodology for ensuring that they do not exceed this limitation.

### **Local Plan Time-frames:**

Local plans should reflect the 36-month time-frame for their programs and expenditure of funds. For planning purposes, the state anticipates receiving funding authority beginning April 1, 1998. As such, funding authority would end March 31, 2001.

### **Local Assurances and Plan Requirements:**

Plans must follow the provided format and should be no more than 20 pages in length, excluding attachments. The PICs must demonstrate coordination with local partners. Plans must include the necessary assurances and must include the signature of the PIC chair, and the CEO, and evidence of Board action by the County Board(s) of Supervisors within the SDA. It is expected that the local plans will be developed jointly between the PIC and the CWD. The County Board of Supervisors will consider the input of the CWD when board action is taken.

State legislation, AB 382, allows multiple PIC or alternative administrative entities in a single county to combine their WtW plans into a single county-wide WtW plan. The plan should be signed by all affected PICs and CEOs in the affected jurisdictions and be approved by the County Board of Supervisors at a public meeting. Contact your Job Training Partnership Division (JTPD) Program Manager for additional information if your county wishes to pursue this option.

There are no specific federal publication requirements for the local WtW grant program plans. However, at a minimum, the local plans must be open to public comment at PIC meetings prior to submission to the state.

### **Plan Modifications:**

The PICs may submit modifications to their local WtW grant program plans to the state at any time during the program. Plan modifications must clearly identify the local plan components being changed, the reasons for the changes, the expected

outcomes of the changes, the public process used to discuss these changes, and must contain a signature page attesting to the PIC/CEO/County Board(s) of Supervisors agreement to the changes.

Types of changes for which plan modifications would be required are:

- reconsideration of which participants to target within the eligible population;
- reconsideration of the allowable activities;
- new agreements between the PIC and CWD regarding eligibility determination and/or assessment; and
- revised performance goals.

Plan modifications must be in the same format as the original plan and should be submitted to the PIC's JTPD Program Manager.

**ACTION:**

1. Prepare local WtW plans in accordance with the attached instructions.
2. Submit four copies of the completed plan to the state as soon as possible; the target date for submission is April 30, 1998. Original signatures must appear on at least two of the copies. Use one of the following methods:

Mail:	Employment Development Department Job Training Partnership Division Attn: Jim Curtis P.O. Box 826880, MIC 69-1 Sacramento, CA 94280-0001
Courier Service/Overnight Mail:	Employment Development Department Job Training Partnership Division Attn: Jim Curtis 800 Capitol Mall, MIC 69-1 Sacramento, CA 95814
Hand Deliver:	Employment Development Department Job Training Partnership Division Attn: Jim Curtis 722 Capitol Mall, Room W1077 Sacramento, CA 95814

**INQUIRIES:**

Please direct questions about developing your local WtW plan to your Program Manager.

/S/ BILL BURKE

Acting Assistant Deputy Director

Attachment

**THE TEMPORARY ASSISTANCE FOR NEEDY FAMILIES  
BLOCK GRANT WELFARE-TO-WORK**

**FORMULA GRANTS**



**STATE OF CALIFORNIA**

*For Federal Fiscal Year 1998*

# Welfare-to-Work Local Plan Instructions

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## WtW LOCAL PLANNING INSTRUCTIONS

### GENERAL PLANNING INSTRUCTIONS

#### Introduction

The Welfare-to-Work (WtW) amendment to the Temporary Assistance for Needy Families (TANF) program designates the Private Industry Councils (PIC) as the local administrative entities for the WtW Grant Program and funding. Under certain circumstances, however, the Governor may designate an alternate entity to administer the program by submitting a waiver request to the Department of Labor (DOL) (Title 20 CFR 645.400). For first-year funding, there are two circumstances under which the Governor might request such a waiver: 1) a PIC declines to accept the WtW Grant Program funds for its Service Delivery Area (SDA); or 2) the PIC, the Chief Elected Official (CEO), and the County Board(s) of Supervisors within the SDA are unable to agree on the local program, resulting in refusal of any one of the parties to sign the local WtW Grant Program plan. Should such an agreement not be reached, this may indicate potential coordination issues that can effect the efficiency and effectiveness of the program. The state will work with the local area to attempt to resolve the problem before submitting a waiver request.

#### 1. PIC Declines WtW Program

The PIC may decline to accept the WtW funds for its SDA by submitting an Alternate Administrative Entity Waiver form. This form is contained in the Forms Supplement Section of these instructions. In accordance with the federal law, this action will require the Governor to designate an alternative local entity to administer the program. Upon submission of this form, a waiver document requesting such action will be submitted to the Secretary of Labor.

#### 2. General Information

Following are the instructions to Private Industry Councils (PICs) for completing their local WtW Grant Program plans. In preparing their local plans, PICs must follow the order and sequence of these instructions, and include all of the following items:

- Table of Contents
- Signed Signature Pages
- Administrative and Fiscally Responsible Entities
- Joint Resolution
- Completed Narrative (as outlined in the instructions)
- Performance Goals Worksheet
- Expenditure and Participant Plan

Plans should be no more than 20 pages in length, excluding attachments, and printed in a size 12 font. Submit four copies of the completed plan to the state as soon as possible; the target date for submission is April 30, 1998. Original signatures must appear on at least two of the copies.

## **PLAN COMPLETION INSTRUCTIONS**

### **COVER PAGES**

#### **Table of Contents**

Complete the WtW local plan Table of Contents. Number the page for each required item.

#### **Signature Pages**

The plans will include the signature of the PIC Chair and the CEO and evidence of Board action by the County Board(s) of Supervisors within the SDA. When the plan is certified by the state, an approved signed copy will be returned to the PIC.

### **PART I — RESPONSIBLE ENTITIES**

#### **Part I — Section A: Administrative and Fiscally Responsible Entity**

If the PIC accepts the responsibility for administering the program, information regarding the administrative and fiscally responsible entities is required. Please complete the Administrative and Fiscally Responsible Entities form. This form is contained in the Forms Supplement Section of this Directive.

#### **Part I — Section B: Joint Resolution**

Please submit a signed Joint Resolution between the County Board of Supervisors or City Council and the PIC to designate administering agency and signatory authority, and submit it with your local plan. This document is required to establish fiscal responsibility and PIC designation of an entity to administer the WtW Grant Program funds. (Please see Forms Supplement for a **sample** resolution.) If Joint Powers and PIC/CEO agreements exist for the JTPA program, these may be used. However, modifications to include authority for the WtW program are required.

### **PART II — ELIGIBILITY**

#### **Part II — Section A:**

The federal WtW Grant Program legislation defines the individuals who are eligible to participate in the local WtW Grant Program. The law requires that a minimum of 70 percent of the WtW Grant Program funds be expended on individuals who are recipients of TANF (CalWORKs in California) and who demonstrate certain characteristics of long-term welfare dependency as described in Title 20 CFR 645.212. These individuals include:

- CalWORKs recipients who have been on aid for 30 months or more, consecutive or cumulative, or who are within 12 months of the state-imposed durational time

limits on aid. These recipients will also have to meet at least two of the following requirements:

- they failed to complete secondary school or to obtain a certificate of general equivalency, and have low skills in reading or mathematics;
  - they require substance abuse treatment for employment; and/or
  - they have poor work histories.
- A noncustodial parent of a minor child whose custodial parent meets the criteria listed above.
  - Individuals who have reached the federal five-year lifetime limit on aid or a state-imposed durational limit.

However, as much as 30 percent of the funds may be expended on non-custodial parents who are not recipients of aid, former CalWORKS recipients who have reached the state-imposed durational limit on aid, and other recipients, such as those who have dropped out of school and pregnant teens, who demonstrate characteristics associated with long-term welfare dependency. (Title 20 CFR 645.213, and 645.214)

## **Part II — Section A (1): Eligible Populations**

Please describe who you will target within the statutorily eligible populations for services under the WtW Grant Program. Include information about how you will ensure that at least 70 percent of the funds will be used to serve CalWORKS recipients who demonstrate the required characteristics of long-term welfare dependency. Describe, as well, what percentage of funds (up to 30 percent) will be used for other individuals who have the characteristics of long-term welfare recipients, including non-custodial parents who are not recipients of aid and recipients, such as school dropouts and pregnant teens.

## **Part II — Section A (2): Targeting Strategy Coordination with CWD**

Please describe the process used to determine your local targeting strategy and how that strategy complements local CalWORKS plans.

## **Part II — Section B:**

Both the federal law and the Interim Final Rule allow states and local areas to designate additional characteristics associated with, or predictive of, long-term dependence for purposes of serving individuals within the optional 30 percent funding category (20 CFR 645.213 (a) (2)). California must include any additional characteristics defined by the local areas in its second-year state WtW Grant Program plan.

## **Part II — Section B (1): Additional Characteristics**

Please list any additional characteristics of long-term welfare dependency you intend to use in your local areas for eligibility purposes.

## **Part II — Section B (2): Additional Characteristics Coordination with CWD**

Please describe how the identification of additional characteristics was coordinated with the local CWD.

## **Part II — Section C:**

According to the Interim Final Rule, it is necessary for the local PIC, or alternate administrative entity, to ensure that WtW Grant Program funds are spent only on those individuals who are eligible to participate in the program. The PIC must ensure that mechanisms are in place to determine WtW Grant Program eligibility for those individuals who participate (Title 20 CFR 645.214). The PIC must coordinate these efforts with the local CalWORKs entity. The PIC must also ensure that each WtW Grant Program participant has had a written assessment of skills, prior work experience, and employability as well as a completed individualized strategy for transition to unsubsidized employment (Title 20 CFR 645.225 (c)).

## **Part II — Section C (1): Participant Eligibility Determination**

Please describe how eligibility will be determined for the populations served, including the determination of eligibility for non-CalWORKs participants.

## **Part II — Section C (2): Coordination for Assessment and Case Management**

Please describe how you will coordinate with the CWD(s) for the assessment, individual responsibility plan development, referral, and case management of WtW Grant Program participants. This must include a description of the respective roles of both agencies as they relate to CalWORKs and nonCalWORKs participants.

## **PART III — ALLOWABLE ACTIVITIES**

### **Part III — Section A:**

There is a range of activities which are allowable under the WtW Grant Program. In the state WtW Grant Program plan, definitions were adopted from CalWORKs legislation for Community Service, Work Experience, On-the-Job Training, and Job Readiness Services. Federal law and regulation do not, however, define allowable activities, except by example. State staff will convene a state and local partners work group to identify the need to further refine and clarify these definitions. The Interim Final Rule does provide mentoring, English-as-a-Second Language, occupational skills training, and basic educational skills training as examples of post-employment services, and transportation assistance, substance abuse treatment, child care, and emergency or short-term housing as examples of job retention and support services (20 CFR 645.220).

### **Part III — Section A (1): Planned Services Defined in CalWORKs**

Please list those services (which are defined in CalWORKs) that you will provide under the WtW Grant Program. The CalWORKs definitions of these services are included in the state WtW Grant Program plan. Please also describe any limitations you will place on the use of these services.

- Work Experience
- Community Service
- On-the-Job Training
- Contracts or vouchers for Job Readiness Services

### **Part III — Section A (2): Planned Services Defined Locally**

Please list those services (which are **not** defined in CalWORKs) that you will provide under the local WtW Grant Program, and provide the locally agreed-to definitions for them. Please also include any limitations you will place on the use of these services.

- Job Creation through Public or Private Wage Subsidies
- Contracts or vouchers for Placement and Post-Employment Services
- Job Retention and Support Services
- Funding for Individual Development Accounts

### **Part III — Section B:**

The PIC must coordinate provision of services with the local CalWORKs program. Additionally, WtW Grant Program funds can only be used for supportive services and job retention services if those services are not otherwise available to eligible participants (20 CFR 645.225).

### **Part III — Section B (1): Overall Service Strategy**

Please describe the overall service strategy which will be used for the targeted populations and how it will support the local CalWORKs plan.

### **Part III — Section B (2): Service Determination**

Please describe how the PIC and the CWD will determine appropriate services for the individual participants.

### **Part III — Section B (3): Service Strategy Results**

Please describe how this strategy will result in placement/retention and will lead to long-term self-sufficiency. Please include a description of your labor market, how your service strategy helps meet local labor market needs, and how you will involve employers in meeting your objectives.

### **Part III — Section B (4): Job Retention and Support Services**

Please describe the process you will use to ensure that job retention and support services are not otherwise available to WtW Grant Program participants, and that these services are coordinated with the CalWORKs program and others, such as local county substance abuse treatment programs, which may make these services available.

### **PART IV — COORDINATION**

#### **Part IV — Section A:**

The Interim Final Rule requires that the WtW Grant Program be coordinated with local workforce preparation and WtW partners (Title 20 CFR 645.225). These include, but are not limited to, community colleges, One-Stop Career Centers, housing agencies, the business community, faith-based organizations, education, community-based organizations, economic development entities, the Job Service, transportation agencies, county alcohol and drug representatives, and JTPA programs. In addition, there are a number of local plans mandated under CalWORKs which address services to welfare recipients (Please see the Summary of WtW Plans attachment for a description of these plans). The local WtW Grant Program plan must identify how the PICs will link with potential partners. The plan must document that collaboration occurred with the local lead agency responsible for coordination with the WtW Job Creation Task Force (Government Code Section 15365.55 subdivision (g) paragraph (I)). In addition, the WtW Grant Program plan must be consistent with the CalWORKs plan developed by the CWD, and other welfare-related plans listed in the Attachment.

#### **Part IV — Section A (1): Coordination with Local Partners**

Please specifically describe your efforts, and the specific agreements reached (including the role each partner will play in supporting the local WtW Grant Program), to coordinate planning and service delivery with:

- CWDs
- JTPA programs
- Education institutions, including those which administer the Child Care Development Block Grant
- Community colleges
- One-Stop Career Centers
- The Job Service
- The local Labor Market Information representative
- Housing agencies
- Transportation agencies
- County Alcohol and Drug Treatment Agencies
- The business community
- Faith-based organizations

- Economic development entities
- Foundations
- Community-based organizations
- Others (Please list)

#### **Part IV — Section B:**

The law and regulations require a state match for WtW Grant Program funds (Title 20 CFR 645.300). While the state cannot require local match as a condition of receipt of the local WtW Grant Program allocation, the degree to which local partners leverage resources will enhance the success of the program and ensure successful placement and retention of WtW Grant Program participants in jobs. Efforts to identify local match may be favorably viewed when the state comments on applications to the DOL for federal competitive WtW Grant Program funds, as well as when it reviews applications for the Governor's discretionary funds.

#### **Part IV — Section B (1): Leveraging WtW Resources**

Please describe your efforts to use the WtW Grant Program funding to leverage other local resources.

#### **Part IV — Section B (2): Leveraged Resources Qualified as State Match**

Please identify any of the leveraged resources you have generated or for which commitments have been made, including the source, amount and type (either cash or in-kind), and whether such resources could be counted in meeting future federal match requirements. Describe how these resources will be used to support the local WtW Program. This information is requested to indicate an enhanced level of local commitment. There is no intent to monitor local match as identified in this plan.

### **PART V — PERFORMANCE AND OVERSIGHT**

#### **Part V — Section A:**

California's initial WtW Grant Program performance goals for the first year of operation include a placement rate, a follow-up employment rate, and a follow-up increase in earnings goal.. These goals are based in part on the state's historical experience in serving Job Training Partnership Act (JTPA) participants with similar characteristics to the target group for the WtW Grant Program. These are initial targets based on limited data. The state understands that the participant population and the program design for WtW are different than those under the JTPA. The state will continue to refine these goals as the program progresses and tracking systems are developed. These goals may also be modified when the DOL releases detailed guidance on setting program goals and outcomes.

In the state WtW Grant Program plan, California stated that its goals are that at least 45 percent of WtW Grant Program clients will be placed in unsubsidized employment,

that at least 70 percent of the participants placed into unsubsidized employment should be employed six months after placement; and that the average wage at six month follow-up should increase by 10 percent over the average wage at placement for participants who remain employed for six months. These goals will be used as benchmarks to assist the state in providing technical assistance to local areas which may require it. The state recognizes that local performance goals may differ somewhat from those in the state plan.

Additionally, DOL will, in conjunction with the federal Department of Health and Human Services, issue performance standards against which states will be judged for performance bonuses to be granted in the year 2000. Although it is unknown at this time what those precise standards will be, the three factors listed above will be included.

#### **Part V — Section A (1): Planned Performance Goals**

Please complete the Performance Goals Worksheet included in the forms supplement section of this directive. This worksheet describes your planned performance goals for placements, job retention, and weekly average wage for the WtW Grant Program and how these goals were derived.

#### **Part V — Section B:**

The law requires that the Governor monitor PICs, or alternate administrative entities, funded through the state's formula grants for the WtW Grant Program (Title 20 CFR 645.245). This monitoring must be done periodically for compliance with the law and regulations. The PICs have the responsibility for monitoring their subgrantees and service providers for compliance with the law and regulations (Title 20 CFR 645.425 (b) (4) and 645.425 (b) (7)).

#### **Part V — Section B (1): Oversight Plan**

Please describe your oversight plan for the WtW Grant Program, including a description of the oversight activities of the PIC and the CEOs. The plan should include monitoring strategies, policy development, and so forth.

### **PART VI — EXPENDITURE AND PARTICIPANT PLANNING**

#### **Part VI — Section A:**

The Interim Final Rule identifies the appropriate DOL regulations that specify the rules applicable to WtW Grant Program funds in the areas of fiscal and administrative requirements and financial reporting (Title 20 CFR 645.230 and Title 20 CFR 645.240 (c)).



## **Part VI — Section A (1) Financial Management System**

Please describe your financial management system for accounting for and reporting WtW Grant Program funds in accordance with the appropriate federal requirements. Please include a description of how that system meets allowable cost principles and how it will report WtW expenditures and program income on the accrual basis of accounting. In addition, please describe your procurement policies and procedures for awarding WtW Grant Program funds to subrecipients and include elements such as competitive bid procedures, conflict of interest, code of conduct, and debarment and suspension.

## **Part VI — Section A (2) Expenditure and Participant Plan**

Please complete the Expenditure and Participant Plan included in the forms supplement section of these instructions.

## **PART VII — ASSURANCES**

The subgrant language will contain the necessary WtW assurances and those assurances will not, therefore, become a part of these planning instructions. The subgrant language is being finalized and will be sent under separate cover for review and final input.

## Summary of Welfare to Work Plans

<b>Plan/Summary</b>	<b>Sign off Entity</b>	<b>Due Date</b>	<b>Approving/ Certifying Entity</b>
Temporary Assistance for Needy Families (TANF) Funding Plan - Funding targeted specifically to serve TANF recipients. Plan outlines services and instruction needed to serve CalWORKs recipients.	Community Colleges	10/10/97	Chancellor of Community Colleges
CalWORKs Program Plan - Plan to expand and redesign programs to better serve CalWORKs recipients. Funds are allocated for curriculum development and redesign, child care, work/study, job development/placement, and coordination.	Community Colleges	11/14/97	Chancellor of Community Colleges
TANF Plan– State plan for receipt of federal funds to implement CalWORKS.	Department of Social Services	11/97	Department of Health & Human Services
Welfare-to-Work Formula Grants State Plan – State plan for receipt of formula grant funds to move hard-to-employ TANF recipients into unsubsidized jobs.	Employment Development Department	12/12/97	Department of Labor
County Plans for CalWORKs – Plans describe how the county intends to deliver the full range of activities and services necessary to move CalWORKs recipients from welfare-to-work.	County Welfare Departments	1/12/98	Department of Social Services
Educational County Plan – A local plan, with specified components, detailing the provision of instructional and job training services to CalWORKs recipients within that county.	County Superintendent of Education, local community college districts, local adult education, CWD, and directors of job training programs	3/31/98	County Welfare Department
Educational County Plan – A local plan, with specified components, detailing the provision of instructional and job training services to CalWORKs recipients within that county.	County Superintendent of Education, local community college districts, local adult education, CWD, and directors of job training programs	3/31/98	County Welfare Department

<b>Plan/Summary</b>	<b>Sign off Entity</b>	<b>Due Date</b>	<b>Approving/ Certifying Entity</b>
CalWORKs Joint Funding Plan – Joint application to determine how local funds will be disseminated.	Adult Education and Regional Occupation Centers	3/31/98	Department of Education
Workforce Preparation and Economic Development Plan - An integrated state workforce development plan for service delivery, resource investment, and performance measures.	Health and Welfare Agency	4/1/98	Legislature
Welfare-to-Work Formula Grants Local Plan – Local plan for receipt of formula grant funds to move hard-to-employ TANF recipients into unsubsidized jobs.	PIC chair, the CEO, and County Board(s) of Supervisors within the SDA	To be Determined	Employment Development Department
Job Creation Plan for CalWORKS Recipients – Strategic plan that outlines job creation activities that will provide employment for recipients of aid.	County Board of Supervisors	9/30/99	Trade and Commerce Agency
Child Care and Development Plan - A local countywide child care plan designed to mobilize public and private resources to address identified needs.	Local Planning Council consisting of consumers, child care providers, and public agency representatives	To be determined locally	Department of Education

**WELFARE-TO-WORK LOCAL PLAN**

**FORMS SUPPLEMENT**

## **Welfare-to-Work Alternative Administrative Entity Waiver**

Complete this item only if your Private Industry Council (PIC) does not wish to assume responsibility for operating the Welfare-to-Work Grant Program for your Service Delivery Area.

---

PIC Name

---

Number and Street

---

City and ZIP Code

---

Phone Number and FAX Number

---

PIC Chair

The above-named PIC does not accept the responsibility for administering the federal Welfare-to-Work Grant Program within its Service Delivery Area.

---

Signature of PIC Chair

**Please send this form to the Employment Development Department'S Job Training Partnership Division via overnight mail, or hand deliver per directions provided on page 7 of the Directive. In accordance with the federal law, this action will require the Governor to designate an alternate local entity to administer the program. A waiver document requesting such action will be submitted to the Secretary of Labor.**

# Welfare-to-Work Grant Program Local Plan

## Table of Contents

WtW Local Plan	<input type="checkbox"/> Initial Plan	<input type="checkbox"/> Modification
Service Delivery Area _____ Date: _____		

		Page
<b>Cover Pages</b>	Table of Contents	
	Signature Pages	
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Sec. B	Joint Resolution	
<b>Part II</b>	<b>Eligibility</b>	
Sec. A(1)	Eligible Populations	
A(2)	Targeting Strategy Coordination with CWD	
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B(2)	Leveraged Resources Qualified as State Match	
<b>Part V</b>	<b>Performance and Oversight</b>	
Sec. A(1)	Planned Performance Goals	
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Sec. A(1)	Financial Management System	
A(2)	Expenditure and Participant Plan	
<b>Part VII</b>	<b>Assurances</b>	

# Welfare-to-Work Signature Page

WtW Local Plan	<input type="checkbox"/> Initial Plan	<input type="checkbox"/> Modification
Service Delivery Area _____ Date: _____		

The undersigned Private Industry Council (PIC) Chair, the Chief Elected Official (CEO) for the above named Service Delivery Area (SDA), and the County Board(s) of Supervisors within the SDA have approved the attached local Welfare-to-Work Plan and agree to operate or cause to be operated programs pursuant to this plan. It is expected that the local plan has been developed jointly between the PIC and the County Welfare Department (CWD), and that the County Board of Supervisors considered the input of the CWD when board action was taken. The undersigned certify that they concur with the contents of this plan and agree that this plan shall be funded through subgrants executed between the named subgrantee and the State of California and that no such subgrant shall be executed without their concurrence. This plan consists of the Table of Contents, these signature pages, the Administrative and Fiscally Responsible Entities form, a completed Joint Resolution, a completed Performance Goals Worksheet, a completed Expenditure and Participant Plan and responses to all planning instructions.

Approved for the PIC:	Approved for the CEO:
_____	_____
(Signature)	(Signature)
_____	_____
(Name)	(Name)
_____	_____
(Title)	(Title)
_____	_____
(Date)	(Date)

Approved for the County Board of Supervisors:
_____
(Signature)
_____
(Name)
_____
(Title)
_____
(Date)

<b>For state use only:</b>
<b>Approved for the State of California:</b>
_____
(Signature)
_____
(Name)
_____
(Title)
_____
(Date)

# Welfare-to-Work Signature Page

WtW Local Plan	<input type="checkbox"/> Initial Plan	<input type="checkbox"/> Modification
Service Delivery Area _____ Date: _____		

## Chairs of additional County Boards of Supervisors plan approval signatures:

(Signature)	(Signature)
(Name)	(Name)
(Title)	(Title)
(Date)	(Date)

(Signature)	(Signature)
(Name)	(Name)
(Title)	(Title)
(Date)	(Date)

(Signature)	(Signature)
(Name)	(Name)
(Title)	(Title)
(Date)	(Date)



# Welfare-to-Work Signature Page

WtW Local Plan	<input type="checkbox"/> Initial Plan	<input type="checkbox"/> Modification
Service Delivery Area _____ Date: _____		

## Chairs of additional County Boards of Supervisors plan approval signatures:

(Signature)	(Signature)
(Name)	(Name)
(Title)	(Title)
(Date)	(Date)

(Signature)	(Signature)
(Name)	(Name)
(Title)	(Title)
(Date)	(Date)

(Signature)	(Signature)
(Name)	(Name)
(Title)	(Title)
(Date)	(Date)

## Administrative and Fiscally Responsible Entities

WtW Local Plan	<input type="checkbox"/> Initial Plan	<input type="checkbox"/> Modification
Service Delivery Area _____		Date: _____

If the Private Industry Council will accept the responsibility for administering the program, please provide the following information.

1. Complete the following information for the local entity that will administer the Welfare-to-Work Grant Program within your Service Delivery Area (SDA).

\_\_\_\_\_ Administrative Entity

\_\_\_\_\_ Number and Street

\_\_\_\_\_ City and ZIP Code

\_\_\_\_\_ Phone Number and FAX Number

\_\_\_\_\_ Contact Person

2. Complete the following information for the local governmental entity which will accept fiscal liability for Welfare-to-Work Grant Program funds within your SDA.

\_\_\_\_\_ CEO

\_\_\_\_\_ Number and Street

\_\_\_\_\_ City and ZIP Code

\_\_\_\_\_ Phone Number and FAX Number

\_\_\_\_\_ Contact Person

**SAMPLE  
JOINT RESOLUTION  
COUNTY BOARD OF SUPERVISORS OR CITY COUNCIL  
and  
PRIVATE INDUSTRY COUNCIL  
DESIGNATING ADMINISTERING AGENCY AND SIGNATORY AUTHORITY**

**WHEREAS** the *(County Board of Supervisors/City Council)* acknowledges that the unit of general local government, or each unit of general local government that is a member of the \_\_\_\_\_  
\_\_\_\_\_ *(name of consortium)*, shall be liable to the State of California Employment Development Department for all funds not expended in accordance with this Planning Guidance, the Welfare-to- Work local Subgrant, the Welfare-to-Work law and the implementing regulation, and shall return such funds to the Employment Development Department, and

**WHEREAS** the \_\_\_\_\_ *(County Board of Supervisors/City Council)* designates the Private Industry Council to administer Welfare-to-Work funds and other state and federal funds serving residents of \_\_\_\_\_, and

**WHEREAS** *(if further designated)* the Private Industry Council designates \_\_\_\_\_  
\_\_\_\_\_ *(agency)* to administer Welfare-to-Work funds, and

**WHEREAS** the \_\_\_\_\_ *(title)* of \_\_\_\_\_  
\_\_\_\_\_ *(designated agency)* is \_\_\_\_\_ *(name)*,

**NOW, THEREFORE, BE IT RESOLVED,** that the \_\_\_\_\_ *(County Board of Supervisors/City Council)* and the Private Industry Council authorize, through the designation set forth above, \_\_\_\_\_ *(name of authorized individual)*, to execute and sign all Welfare-to-Work plans, modifications, adjustments, grants, grant applications, subgrant agreements or any other documents with or required by the State of California Employment Development Department, the United States Department of Labor, or any other state or federal agency,

**AND BE IT FURTHER RESOLVED** that this signature authority is effective until specifically revoked.

\_\_\_\_\_  
Signature, Chairman Board of Supervisors

\_\_\_\_\_  
Signature, Designee

\_\_\_\_\_  
Signature, Chairman Private Industry Council

\_\_\_\_\_  
Effective Date

Attestation, Clerk of the Board of Supervisors:

File #: \_\_\_\_\_

Agenda #: \_\_\_\_\_

Resolution #: \_\_\_\_\_

Date \_\_\_\_\_

## Performance Goals Worksheet

WtW Local Plan	Initial Plan	Modification
Service Delivery Area	Date:	

Performance Goal	Planned Statewide Goal	Overall Planned SDA Goal	Description of how the SDA goal is derived
Placement in Unsubsidized Employment	45%	%	
Job Retention at 6 months	70%	%	
Average Weekly Wage at 6 months	10% increase over the average wage at placement	\$	

Performance Goal	Benchmarks			
	Quarter ending June 1998	Quarter ending June 1999	Quarter ending June 2000	Quarter ending March 2001
Placement in Unsubsidized Employment				
Job Retention at 6 months				
Average Weekly Wage at 6 months				

## Welfare-to Work Expenditure and Participant Plan

WtW Local Plan	<input type="checkbox"/> Initial Plan	<input type="checkbox"/> Modification
Service Delivery Area _____ Date: _____		

April 1998 - June 1998	Total	Administration Expenditures	Program Expenditures
I. Allocation	\$		
II. Quarterly Planned Cumulative Expenditures			
A. Quarter 1 (April - June)	\$	\$	\$
III. Planned Carry-out	\$		
IV. Planned Participants Expected to Receive Services			
A. Quarter 1 (April - June)			

July 1998 - June 1999	Total	Administration Expenditures	Program Expenditures
I. Planned Carry-in	\$		
II. Quarterly Planned Cumulative Expenditures			
A. Quarter 1 (July - September))	\$	\$	\$
B. Quarter 2 (October - December)	\$	\$	\$
C. Quarter 3 (January - March)	\$	\$	\$
D. Quarter 4 (April - June)	\$	\$	\$
III. Planned Carry-out	\$		
IV. Planned Participants Expected to Receive Services			
A. Quarter 1 (July - September))			
B. Quarter 2 (October - December)			
C. Quarter 3 (January - March)			
D. Quarter 4 (April - June)			

July 1999 - June 2000	Total	Administration Expenditures	Program Expenditures
I. Planned Carry-in	\$		
II. Quarterly Planned Cumulative Expenditures			
A. Quarter 1 (July - September))	\$	\$	\$
B. Quarter 2 (October - December)	\$	\$	\$
C. Quarter 3 (January - March)	\$	\$	\$
D. Quarter 4 (April - June)	\$	\$	\$
III. Planned Carry-out	\$		
III. Planned Participants Expected to Receive Services			
A. Quarter 1 (July - September))			
B. Quarter 2 (October - December)			
C. Quarter 3 (January - March)			
D. Quarter 4 (April - June)			

## Welfare-to Work Expenditure and Participant Plan

WtW Local Plan	<input type="checkbox"/> Initial Plan	<input type="checkbox"/> Modification
Service Delivery Area _____ Date: _____		

July 2000 - March 2001	Total	Administration Expenditures	Program Expenditures
I. Planned Carry-in	\$		
II. Quarterly Planned Cumulative Expenditures			
A. Quarter 1 (July - September))	\$	\$	\$
B. Quarter 2 (October - December)	\$	\$	\$
C. Quarter 3 (January - March)	\$	\$	\$
III. Planned Participants Expected to Receive Services			
A. Quarter 1 (July - September))			
B. Quarter 2 (October - December)			
C. Quarter 3 (January - March)			